

09/12/01

Jc923 U.S. PTO

Please type a sign (+) inside this box

+ PTO/SB/05 (08-00)

Approved for use through 10/31/2002. OMB 0651-0032  
Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

PS-805

First Inventor

ROSEN, Craig

Title

Human Secreted Proteins

Express Mail Label No.

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

**ADDRESS TO:**Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- 1.
- ☒
- Fee Transmittal Form (e.g., PTO/SB/17) (in duplicate)
- 
- (Submit an original, and a duplicate for fee processing)

- 2.
- ☐
- Applicant claims small entity status.
- 
- See 37 CFR 1.27.

- 3.
- ☒
- Specification [Total Pages
- 4,546
- ]

(preferred arrangement set forth below)

- Descriptive title of the Invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

- 4.
- ☐
- Drawing(s) (35 U.S.C. 113) [Total Sheets
- 
- ]

- 5.
- ☒
- Declaration [Total Pages
- 4
- ]

- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)
- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

- 6.
- ☐
- Application Data Sheet. See 37 CFR 1.76.

- 7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- 8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☒ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☒ paper (12,317 pages)
  - c. ☒ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

- 9. ☒ Assignment Papers (cover sheet and document(s)) (3 pp.)
- 10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
- 11. ☐ English Translation Document (if applicable)
- 12. ☐ Information Disclosure Statement/ Form PTO/SB/08
- ☐ Copies of Citations
- 13. ☐ Preliminary Amendment
- 14. ☒ Return Receipt Postcard (MPEP 503)  
(should be specifically itemized)
- 15. ☐ Certified copy of Priority Document(s)  
(if foreign priority is claimed)
- 16. ☐ Other:

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-Part (CIP) of prior application No: 60/278,650 filed March 27, 2001

Prior application information:

Examiner

Group/Art Unit:

For CONTINUATION OR DIVISIONAL APPS only. The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**18. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label

22195

or ☐ Correspondence address below

NAME

ADDRESS

CITY

STATE

ZIP CODE

COUNTRY

TELEPHONE

FAX

NAME (Print/Type)

Kenley K. Hooper

Registration No. (Attorney/Agent)

40,302

SIGNATURE

Kenley K. Hooper

Date September 12, 2001

Statement: this form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Box 549

Jc923 U.S. PTO

09/12/01

09/12/01

**FEE TRANSMITTAL  
for FY 2001***Patent fees are subject to annual revision.***Complete if Known**

Application Number		To be assigned
Filing Date		September 12, 2001
First Named Inventor		ROSEN, Craig
Examiner Name		To be assigned
Group Art Unit		To be assigned
Total amount of payment	(\$) <b>982.00</b>	Attorney Docket Number
		PS-805

**METHOD OF PAYMENT (CHECK ONE)**

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:  
 Deposit Account Number **08-3425**  
 Deposit Account Name **Human Genome Sciences, Inc.**

☒ Charge Any Additional Fee Required  
 Under 37 CFR §§ 1.16 and 1.17

☐ Applicant claims small entity status  
 See 37 CFR 1.27

2. ☐ Payment Enclosed

☐ Check ☐ Credit Card ☐ Money Order ☒ Other\*  
 \*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 08-3425

**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	\$710.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
<b>Subtotal (1)</b>					<b>\$710.00</b>

**2. EXTRA CLAIM FEES**

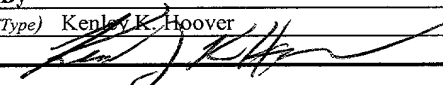
Total claims	23	- 20**	4	Fee from below 18.00	Fee Paid \$ 72.00
Indep. claims	5	- 4**	2	80.00	\$160.00
Multiple Dependent					\$

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim
108	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

**Subtotal (2)** (\$)**232.00**

**Submitted By**

Name (Print/Type) **Kenley K. Hoover**

Signature: 

**3. ADDITIONAL FEES**

Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late provisional filing fee or cover sheet	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920	112	920	Requesting publication of SIR prior to Examiner action	
113	1,840	113	1,840	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	

140	110	240	55	Petition to revive -unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Statement	
581	40	481	40	Recording each patent assignment per property (times number of properties)	\$ 40.00
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	190	169	900	Request for expedited examination of a design application	

Other fee (specify):

Other fee (specify):

\*Reduced by Basic Filing Fee Paid

**Subtotal (3)**

**\$ 40.00**

Complete (if applicable)

Registration No.: 40,302

Telephone 301-610-5771

Date September 12, 2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: ROSEN et al.

Application Serial No.: To be assigned

Art Unit: To be assigned

Filed: Concurrently herewith

Examiner: To be assigned

For: Human Secreted Proteins

Attorney Docket No.: PS-805

**STATEMENT UNDER 37 C.F.R. 1.821(f)**

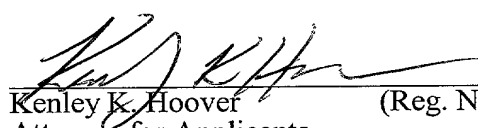
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Applicants hereby certify that the hard copy of the sequence listing being filed concurrently herewith and the enclosed computer-readable form of such sequence listing are identical.

Respectfully submitted,

Date: September 12, 2001

  
Kenley K. Hoover (Reg. No. 40,302)  
Attorney for Applicants

**Human Genome Sciences, Inc.**  
9410 Key West Avenue  
Rockville, Maryland 20850  
Telephone: (301) 610-5771

KKH/DS/lcc

09550063-091201

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: ROSEN et al.

Application Serial No.: Unassigned

Art Unit: Unassigned

Filed: Concurrently herewith

Examiner: Unassigned

For: Human Secreted Proteins

Atty. Docket No.: PS-805

**TRANSMITTAL AND SUBMISSION UNDER  
37 C.F.R. §§ 1.824 and 1.52(e)(3)(ii)**

Commissioner For Patents  
Washington, D.C. 20231

Sir:


In accordance with 37 C.F.R. § 1.824, Applicants submit herewith one compact disc (CD-R). The CD-R labeled CRF contains the Sequence Listing to satisfy the computer readable form. A Statement Under 37 C.F.R. § 1.821 is enclosed herewith.

The enclosed CD-R labeled CRF contains the Sequence Listing on the following format specifications:

1. Machine format: IBM-PC
2. Operating System: MS-Windows
3. Name of Files: PS805\_SeqList.txt
4. Size: 37,855,502 bytes
5. Date of Creation: September 10, 2001

Respectfully submitted,

Date: September 12, 2001

  
Kenley K. Hoover (Reg. No. 40,302)  
Attorney for Applicants

**Human Genome Sciences, Inc.**  
9410 Key West Avenue  
Rockville, MD 20850  
Telephone: (301) 610-5771

KKH/DS/lcc  
Enclosure

0995083-091201